

<b>Notice of Allowability</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	09/607,375	IDE ET AL.	
	<b>Examiner</b>	<b>Art Unit</b>	
	Jenise E. Jackson	2131	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--**

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 11/3/2005.
2. ☒ The allowed claim(s) is/are 2-4,6,9,11,14,15 and 26-33.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
  - a) ☐ All    b) ☐ Some\*    c) ☐ None    of the:
  1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_.

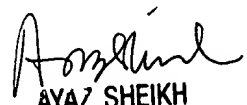
Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
  5. ☐ CORRECTED DRAWINGS ( as "replacement sheets") must be submitted.
    - (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review ( PTO-948) attached
      - 1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_\_.
    - (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).**
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

- |   |  |
|---|--|
| <ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)</li> <li>2. <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)</li> <li>3. <input checked="" type="checkbox"/> Information Disclosure Statements (PTO-1449 or PTO/SB/08),<br/>Paper No./Mail Date <u>11282005</u></li> <li>4. <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit<br/>of Biological Material</li> </ol> | <ol style="list-style-type: none"> <li>5. <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)</li> <li>6. <input type="checkbox"/> Interview Summary (PTO-413),<br/>Paper No./Mail Date _____</li> <li>7. <input type="checkbox"/> Examiner's Amendment/Comment</li> <li>8. <input checked="" type="checkbox"/> Examiner's Statement of Reasons for Allowance</li> <li>9. <input type="checkbox"/> Other _____</li> </ol> |
|---|--|

  
**AYAZ SHEIKH**  
 SUPERVISORY PATENT EXAMINER  
 TECHNOLOGY CENTER 2100

***Reasons for Allowance***

1. Status of Claims: Claims 2-4, 6, 9, 11, 14-15, 26-33 remain. The Applicant has cancelled claims 1, 5, 7-8, 10, 12-13, 16-25. In the previous office action dated 7/29/05, the Examiner indicated the allowability of Independent claims 3 and 6. The reasons claims 2-4, 6, 9, 11, 14-15, 26-33 are allowable are listed below:

2. In the prior art of security, prior art fails to disclose or suggest, “completing a vulnerability assessment of the workstation to identity security vulnerabilities that would compromise the secure operation of the workstation”, “generating workstation security credentials based on the vulnerability assessment, the workstation security credentials including integrity information describing whether the workstation has been compromised”, and “security posture information describing the workstation’s potential for compromise”, an example of prior art that fails to disclose or suggest, “completing a vulnerability assessment of the workstation to identity security vulnerabilities that would compromise the secure operation of the workstation”, “generating workstation security credentials based on the vulnerability assessment, the workstation security credentials including integrity information describing whether the workstation has been compromised”, and “security posture information describing the workstation’s potential for compromise”, is Perlman. Perlman discloses a security system for restricting user access privileges through an untrusted terminal connected to a network. The untrusted terminal includes a credential server. Perlman discloses that the credential server is capable of generating credentials to permit a user to perform privilege operations. The Perlman reference discloses that a terminal can prove that it is trusted by demonstrating the knowledge of a secret or private key whose public key has been certified as belonging to a trusted workstation,

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thus if the terminal cannot prove that it is trusted it is untrusted. In contrast to the claim limitations, Perlman does not disclose or suggest performing a vulnerability assessment, and there is not discussion or suggestion of a scan that finds evidence of a compromise or potential for compromise.

3. In the prior art of security, prior art fails to disclose or suggest, “completing a vulnerability assessment of the workstation to identity security vulnerabilities that would compromise the secure operation of the workstation”, “generating workstation security credentials based on the vulnerability assessment, the workstation security credentials including integrity information describing whether the workstation has been compromised”, and “security posture information describing the workstation’s potential for compromise”, an example of prior art that fails to disclose or suggest, “completing a vulnerability assessment of the workstation to identity security vulnerabilities that would compromise the secure operation of the workstation”, “generating workstation security credentials based on the vulnerability assessment, the workstation security credentials including integrity information describing whether the workstation has been compromised”, and “security posture information describing the workstation’s potential for compromise”, an example of prior art in security is Dinh. Dinh discloses controlling computer system for performing remote system administration upon a stand-alone computer system. Dinh discloses after establishing a connection with the stand alone computer system, a preexisting diagnostic application on the stand alone computer system is initiated using the established communication between the controlling computer system and the stand alone computer system. Dinh discloses a remote diagnostic system; however, Dinh does not disclose or suggest controlling access to a network service in connection with “generating

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workstation security credentials based on the vulnerability assessment, wherein the workstation security credentials comprise one of integrity information describing whether the workstation has been compromised, and security posture information describing the workstation's potential for compromise", Dinh only describes a computer diagnostic system; however, Dinh does not address any security vulnerabilities or security credentials.

4. Another example in the art of security that fails to disclose or suggest, "completing a vulnerability assessment of the workstation to identity security vulnerabilities that would compromise the secure operation of the workstation", "generating workstation security credentials based on the vulnerability assessment, the workstation security credentials including integrity information describing whether the workstation has been compromised", and "security posture information describing the workstation's potential for compromise", an example of prior art that fails to disclose or suggest, "completing a vulnerability assessment of the workstation to identity security vulnerabilities that would compromise the secure operation of the workstation", "generating workstation security credentials based on the vulnerability assessment, the workstation security credentials including integrity information describing whether the workstation has been compromised", and "security posture information describing the workstation's potential for compromise", is Todd, Sr. et al. Todd Sr. et al. discloses a security self-assessment method for accessing the vulnerability of one or more hosts. Also, Todd Sr. discloses assessment of security dangers such as critical file accessibility, denial of service exposure. The host and server are coupled to the Internet, and the user at the arbitrary host on the Internet inputs data identifying the user and the target host. A network address is obtained for the user and a certification from Internet authorities can be checked to determine a network

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address of the user and confirm that the user is authorized to assess the security vulnerabilities of the target host. However, Todd Sr. et al. fails to disclose after completing a vulnerability assessment, generating workstation security credentials based on the vulnerability assessment, the credentials including the integrity information describing whether the workstation has been compromised and the security posture information describing the workstation's potential for compromise.

5. In the art of Non-patent literature, prior art fails to teach or suggest, "completing a vulnerability assessment of the workstation to identify security vulnerabilities that would compromise the secure operation of the workstation", "generating workstation security credentials based on the vulnerability assessment", "the workstation security credentials including integrity information describing whether the workstation has been compromised", and "security posture information describing the workstation's potential for compromise", an example of prior art that fails to teach or suggest, "completing a vulnerability assessment of the workstation to identify security vulnerabilities that would compromise the secure operation of the workstation", "generating workstation security credentials based on the vulnerability assessment, the workstation security credentials including integrity information describing whether the workstation has been compromised", and "security posture information describing the workstation's potential for compromise", is PC USER. PC USER teaches a virus scanner that scans the system by looking for virus signatures. PC USER teaches integrity checking by taking a fingerprint or validation code of the file. Once these fingerprints have been calculated the program then recalculates the validations to make sure the file hasn't changed. However, PC USER fails to suggest or teach, "generating workstation security credentials based on the

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vulnerability assessment”, “the workstation security credentials including integrity information describing whether the workstation has been compromised”, and “security posture information describing the workstation’s potential for compromise”, Non-patent literature and more specifically, PC USER teaches a virus scanner that can block or scan for viruses on the system, there is no teaching or suggestion of generating credentials based on whether a workstation has been compromised or potential for compromise.

### ***Conclusion***

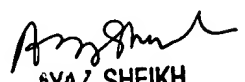
Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jenise E. Jackson whose telephone number is (571) 272-3791. The examiner can normally be reached on M-Th (6:00 a.m. - 3:30 p.m.) alternate Friday's.

If attempts to reach the examiner by telephone are unsuccessful, the examiner’s supervisor, Ayaz Sheikh can be reached on (571) 272-3795. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).



December 1, 2005



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